



AMENDMENTS UNDER 37 C.F.R. §1.111  
U.S. APPLN. NO. 10/782,865

DOCKET NO. Q79595

**AMENDMENTS TO THE CLAIMS**

**This listing of claims will replace all prior versions and listings of claims in the application:**

**LISTING OF CLAIMS:**

1. (currently amended)      A substrate assembly for supporting an optical component having at least one of an optical transmission function, a light condensing function and a light reflecting function, comprising:
  - a substrate having a front surface and a first recess having an open end at least at the front surface;
  - a second recess formed portion disposed in the first recess and having a second recess smaller in diameter than the first recess and having an open end at least at a side corresponding to the front surface, the second recess formed portion being made of a material having a machinability better than a material forming the substrate; and
  - an alignment guide member fitted in the second recess and having a protruded portion protruding from the front surface of the substrate and ~~fittedly~~ removably engageable in an alignment hole of the optical component.
2. (original)      A substrate assembly according to claim 1, wherein the second recess is a high-precision machined hole, and the alignment guide member comprises a guide pin fitted in the high-precision machined hole.

3. (original) A substrate assembly according to claim 2, wherein the substrate is made of a ceramic material, and the second recess formed portion is made of an inorganic material having a machinability better than the ceramic material.

4. (original) A substrate assembly according to claim 1, wherein the substrate comprises at the front surface thereof a positioning reference portion that serves as a reference for positioning of an optical component and for forming the second recess.

5. (original) A substrate assembly according to claim 1, wherein the second recess serves as a reference for positioning of an optical device.

6. (original) A substrate assembly according to claim 1, wherein the substrate comprises two first recesses each having the second recess formed portion formed with the second recess and a positioning reference portion disposed between the second recesses so as to serve as a reference for positioning of the second recesses.

7. (withdrawn and currently amended) A fabrication method of a substrate assembly for supporting an optical component having at least one of an optical transmission function, a light condensing function and a light reflecting function, the substrate assembly ~~including~~ comprising a substrate having a front surface and a first recess having an open end at least at the front surface, a second recess formed portion disposed in the first recess and having a second recess smaller in diameter than the first recess and having an open end at least at a side

corresponding to the front surface, the second recess formed portion being made of a material having a machinability better than a material forming the substrate, and an alignment guide member fitted in the second recess and having a protruded portion protruding from the front surface of the substrate and ~~fittingly~~removably engageable in an alignment hole of the optical component, the method comprising:

- a first perforating step of forming the first recess in the substrate by machining;
- a second recess formed portion forming step of forming the second recess formed portion in the first recess;
- a second perforating step of forming the second recess in the second recess formed portion by machining after the second recess formed portion forming step; and
- a guide member fitting step of fitting the alignment guide member in the second recess.

8. (withdrawn)            A fabrication method according to claim 7, wherein the second perforating step comprises forming the second recess by high-precision machining.

9. (withdrawn and currently amended)            A fabrication method of a substrate assembly for supporting an optical component having at least one of an optical transmission function, a light condensing function and a light reflecting function, the substrate assembly ~~including~~comprising a ceramic substrate having a front surface and a first recess having an open end at least at the front surface, a second recess formed portion ~~placed~~disposed in the first recess and having a second recess smaller in diameter than the first recess and having an open end at least at a side corresponding to the front surface, the second recess formed portion being made of

a ceramic material having a machinability better than an inorganic material forming the substrate, and an alignment guide member fitted in the second recess and having a protruded portion protruding from the front surface of the ceramic substrate and ~~fittedly~~ removably engageable in an alignment hole of the optical component, the method comprising:

a first perforating step of forming the first recess in an unsintered ceramic product by machining;

a firing step of firing the unsintered ceramic product to form the ceramic substrate;

a second recess formed portion forming step of forming the second recess formed portion in the first recess;

a second perforating step of forming the second recess in the second recess formed portion by machining after the second recess formed portion forming step; and

a guide member fitting step of fitting the alignment guide member in the second recess.

10. (withdrawn) A fabrication method according to claim 9, wherein the first perforating step and the second perforating step comprise forming the first recess and the second recess so that the inner diameter of the first recess after the firing step is larger than the inner diameter of the second recess and the outer diameter of the alignment guide member.

11. (withdrawn) A fabrication method according to claim 9, wherein the second perforating step comprises forming the second recess by high-precision machining.

12. (withdrawn and currently amended)      A fabrication method of a substrate assembly for supporting an optical component having at least one of an optical transmission function, a light condensing function and a light reflecting function, the substrate assembly ~~including~~ comprising a substrate having a front surface and a first recess having an open end at least at the front surface, a second recess formed portion disposed in the first recess and having a second recess smaller in diameter than the first recess and having an open end at least at a side corresponding to the front surface, the second recess formed portion being made of a material having a machinability better than a material forming the substrate, and an alignment guide member fitted in the second recess and having a protruded portion protruding from the front surface of the substrate and ~~fittingly~~ removably engageable in an alignment hole of the optical component, the method comprising:

        a perforating step of forming the first recess in the substrate by machining; and  
        a second recess formed portion forming and a guide member mounting step of holding the alignment guide member so that a portion of the alignment guide member is positioned within the first recess, filling an uncured material in the first recess and curing the material thereby forming the second recess formed portion having the second recess and fittingly mounting the alignment guide member in the second recess.

13. (previously presented)      A substrate assembly according to claim 1, wherein the second recess formed portion comprises a resin.

14. (new) A substrate assembly according to claim 1, wherein the optical component has an optical transmission function.

15. (new) A substrate assembly according to claim 1, wherein the optical component has a light condensing function.

16. (new) A substrate assembly according to claim 1, wherein the optical component has a light reflecting function.